



PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Patent Application of	)	Group Art Unit: 2812
Peter J. Hopper et al.	)	Examiner: Mulpuri, Savitri
Application No. 10/728,612	)	SUPPLEMENTAL INFORMATION
Filed: December 5, 2003	)	<u>DISCLOSURE STATEMENT</u>
For: COLOR IMAGER AND LOW-COST	)	
METHOD OF FORMING THE IMAGER	)	
	)	
	)	
	)	
	)	

Mail Stop Amendment  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

Applicants submit herewith information of which applicants are aware, which applicants believe may be material to the examination of this application and in respect of which there may be a duty to disclose in accordance with 37 CFR § 1.56.

This Information Disclosure Statement:

- (a) ☐ accompanies the new patent application submitted herewith. 37 CFR § 1.97(a).
- (b) ☐ is filed within three months after the filing date of the application or within three months after the date of entry of the national stage of a PCT application as set forth in 37 CFR § 1.491.
- (c) ☐ as far as is known to the undersigned, is filed before the mailing date of a first Office Action on the merits.

**CERTIFICATE OF MAILING**

I hereby certify that this correspondence is being deposited with the United States Postal Service, postage prepaid, in an envelope, addressed to Mail Stop Amendment, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on 07-21-04.

Dated: July 21, 2004 By: Robert D. Keag

(d) ☒ is filed after the first office action and more than three months after the application's filing date or PCT national stage date of entry filing but, as far as is known to the undersigned, prior to the mailing date of either a final rejection or a notice of allowance, whichever occurs first, and is accompanied by either the fee (\$180) set forth in 37 CFR § 1.17(p) or a certification as specified in 37 CFR § 1.97(e), as checked below.

(e) ☐ is filed after the mailing date of either a final rejection or a notice of allowance, whichever occurred first, and is accompanied by the fee (\$180) set forth in 37 CFR § 1.17(i)(1) and a certification as specified in 37 CFR § 1.97(e), as checked below. This document is to be considered as a petition requesting consideration of the information disclosure statement.

[If either of boxes (d) or (e) are checked above, the following "certification" under 37 CFR § 1.97(e) may need to be completed.] The undersigned certifies that:

(f) ☐ Each item of information contained in the information disclosure statement was cited in a communication mailed from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this information disclosure statement.

(g) ☐ No item of information contained in this information disclosure statement was cited in a communication mailed from a foreign patent office in a counterpart foreign application or, to the knowledge of the undersigned after making reasonable inquiry, was known to any individual designated in 37 CFR § 1.56(c) more than three months prior to the filing of this information disclosure statement.

A list of the patent(s) or publications(s) is set forth on the attached Form PTO-1449 (Modified). A copy of the items on PTO-1449 (Modified) is supplied herewith:

(h) ☐ each

(i) ☒ none

(j) ☐ only those listed below:

Those patent(s) or publication(s) which are marked with an asterisk (\*) in the attached form PTO-1449 (Modified) are not supplied because they:

☐ were previously cited by or submitted to the Office in a prior application no. \_\_\_\_\_ filed \_\_\_\_\_ and relied upon in this application for an earlier filing date under 35 U.S.C. § 120 or

☒ are hereby waived pursuant to 37 CFR 1.98 (a)(2)(i) for all U.S. national patent applications filed after June 30, 2003.

A concise explanation of relevance of the described above and attached information is:

(k) ☒ not given

(l) ☐ given for each listed item

(m) ☐ given for only non-English language listed item(s) [Required]

- (n) [ ] is in the form of an English language copy of a Search Report from a foreign patent office, issued in a counterpart application, which refers to the relevant portions of the references [copy attached].

While the information disclosed in this Information Disclosure Statement may be "material" pursuant to 37 CFR § 1.56, it is not intended to constitute an admission that the information referred to is "prior art" for this invention unless specifically designated as such.

In accordance with 37 CFR § 1.97(g), the filing of this Information Disclosure Statement shall not be construed to mean that a search has been made or that no other material information as defined in 37 CFR § 1.56(a) exists. It is submitted that the Information Disclosure Statement is in compliance with 37 CFR § 1.98 and MPEP § 609 and the Examiner is respectfully requested to consider the above-described and attached information.

Respectfully submitted,

Dated: 7-21-04

By: Mark C. Pickering  
Mark C. Pickering  
Reg. No. 36,239

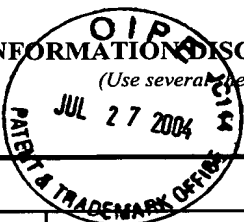
Attorney for Assignee

Atty. Docket No: 100-24100 (P05761)

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Direct Telephone: (707) 762-5583  
Main Telephone: (707) 762-5500  
Facsimile: (707) 762-5504  
Customer No. 33402

# INFORMATION DISCLOSURE CITATION

(Use several sheets if necessary)



Docket Number (Optional)

100-24100 (P05761)

Application Number

10/728,612

Applicant(s)

Peter J. Hopper et al.

Filing Date

December 5, 2003

Group Art Unit

2812

## U.S. PATENT DOCUMENTS

*EXAMINER INITIAL	REF	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
		*6,760,070 B1	07/06/04	Merrill et al.	348	294	03/16/00
		*6,741,283 B1	05/25/04	Merrill et al.	348	308	11/28/00
		*6,731,397 B1	05/04/04	Merrill et al.	358	1.16	05/21/99
		*6,727,521 B2	04/27/04	Merrill	257	98	06/18/01
		*RE38,499 E	04/20/04	Merrill et al.	348	301	06/29/01

## U.S. PATENT APPLICATION PUBLICATIONS

*EXAMINER INITIAL	REF	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE

## FOREIGN PATENT DOCUMENTS

	REF	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	Translation	
							YES	NO

## OTHER DOCUMENTS

(Including Author, Title, Date, Pertinent Pages, Etc.)


EXAMINER

DATE CONSIDERED

EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP Section 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

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## U.S. PATENT DOCUMENTS

*EXAMINER INITIAL	REF	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
		*6,697,114 B1	02/24/04	Merrill	348	308	08/13/99
		*6,636,261 B1	10/21/03	Pritchard et al.	348	308	01/28/00
		*6,632,701 B2	10/14/03	Merrill	438	70	10/01/02
		*6,606,120 B1	08/12/03	Merrill et al.	348	273	04/12/99
		*6,525,304 B1	02/25/03	Merrill et al.	250	208.1	11/28/00

## U.S. PATENT APPLICATION PUBLICATIONS

*EXAMINER INITIAL	REF	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE

## FOREIGN PATENT DOCUMENTS

	REF	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	Translation	
							YES	NO

## OTHER DOCUMENTS

(Including Author, Title, Date, Pertinent Pages, Etc.)


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DATE CONSIDERED

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<b>INFORMATION DISCLOSURE CITATION</b> <i>(Use several sheets if necessary)</i>				Docket Number (Optional) <b>100-24100 (P05761)</b>		Application Number <b>10/728,612</b>	
				Applicant(s) <b>Peter J. Hopper et al.</b>			
				Filing Date <b>December 5, 2003</b>		Group Art Unit <b>2812</b>	

U.S. PATENT DOCUMENTS							
*EXAMINER INITIAL	REF	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
		*6,512,544 B1	01/28/03	Merrill et al.	348	302	06/17/98
		*6,476,372 B2	11/05/02	Merrill et al.	250	208.1	03/20/01
		*6,452,633 B1	09/17/02	Merrill et al.	348	302	02/26/98
		*6,410,899 B1	06/25/02	Merrill et al.	250	208.1	02/14/00
		*6,369,853 B1	04/09/02	Merrill et al.	348	302	11/13/97

U.S. PATENT APPLICATION PUBLICATIONS							
*EXAMINER INITIAL	REF	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE

FOREIGN PATENT DOCUMENTS								
	REF	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	Translation	
							YES	NO

OTHER DOCUMENTS			<i>(Including Author, Title, Date, Pertinent Pages, Etc.)</i>

EXAMINER	DATE CONSIDERED
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<b>INFORMATION DISCLOSURE CITATION</b> <i>(Use several sheets if necessary)</i>				Docket Number (Optional) <b>100-24100 (P05761)</b>		Application Number <b>10/728,612</b>	
				Applicant(s) <b>Peter J. Hopper et al.</b>			
				Filing Date <b>December 5, 2003</b>		Group Art Unit <b>2812</b>	

U.S. PATENT DOCUMENTS							
*EXAMINER INITIAL	REF	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
		*6,246,043 B1	06/12/01	Merrill	250	208.1	09/22/98
		*6,211,510 B1	04/03/01	Merrill et al.	250	208.1	01/26/00
		*6,160,282	12/12/00	Merrill	257	292	04/21/98
		*6,150,683	11/21/00	Merrill et al.	257	292	06/27/97
		*6,088,058	07/11/00	Mead et al.	348	296	05/29/97

U.S. PATENT APPLICATION PUBLICATIONS							
*EXAMINER INITIAL	REF	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE

FOREIGN PATENT DOCUMENTS								
	REF	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	Translation	
							YES	NO

OTHER DOCUMENTS			<i>(Including Author, Title, Date, Pertinent Pages, Etc.)</i>

EXAMINER	DATE CONSIDERED
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<b>INFORMATION DISCLOSURE CITATION</b> <i>(Use several sheets if necessary)</i>				Docket Number (Optional) <b>100-24100 (P05761)</b>		Application Number <b>10/728,612</b>	
				Applicant(s) <b>Peter J. Hopper et al.</b>			
				Filing Date <b>December 5, 2003</b>		Group Art Unit <b>2812</b>	

U.S. PATENT DOCUMENTS							
*EXAMINER INITIAL	REF	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
		*6,066,510	05/23/00	Merrill	438	57	05/05/98
		*6,018,365	01/25/00	Merrill	348	302	03/05/99
		*6,002,432	12/14/99	Merrill et al.	348	241	09/10/96
		*5,982,012	11/09/99	Merrill	257	463	01/14/98
		*5,970,316	10/19/99	Merrill	438	57	09/25/98

U.S. PATENT APPLICATION PUBLICATIONS							
*EXAMINER INITIAL	REF	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE

FOREIGN PATENT DOCUMENTS								
	REF	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	Translation	
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				Applicant(s) <b>Peter J. Hopper et al.</b>			
				Filing Date <b>December 5, 2003</b>		Group Art Unit <b>2812</b>	

U.S. PATENT DOCUMENTS							
*EXAMINER INITIAL	REF	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
		*5,965,875	10/12/99	Merrill	250	226	04/24/98
		*5,962,844	10/05/99	Merrill et al.	250	214 A	09/03/97
		*5,932,873	08/03/99	Bergemont et al.	250	208.1	09/17/97

U.S. PATENT APPLICATION PUBLICATIONS							
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	REF	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	Translation	
							YES	NO

OTHER DOCUMENTS			(Including Author, Title, Date, Pertinent Pages, Etc.)

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PTO/SB/21 (08-03)

Approved for use through 07/31/06. OMB 0651-0031

U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995 no persons are required to respond to a collection of information unless it displays a valid OMB control number.

**TRANSMITTAL  
FORM**

(to be used for all correspondence after initial filing)

<b>Application Number</b>	10/728,612		
	<b>Filing Date</b>	December 5, 2003	
	<b>First Named Inventor</b>	Peter J. Hopper et al.	
	<b>Group Art Unit</b>	2812	
	<b>Examiner Name</b>	Mulpuri, Savitri	
<b>Total Number of Pages in This Submission</b>	13	<b>Attorney Docket Number</b>	100-21900 (P05591)

**ENCLOSURES (check all that apply)**☒ Fee Transmittal Form (in duplicate)☒ Fee Attached (check for \$180)☐ Amendment/Response☐ After Final (Response)☐ Affidavits/declaration(s)☐ Extension of Time Request☐ Express Abandonment Request☒ Supplemental Information  
Disclosure Statement and Forms  
PTO-1449☐ Certified Copy of Priority  
Document(s)☐ Response to Missing Parts/  
Incomplete Application☐ Response to Missing  
Parts under 37 CFR  
1.52 or 1.53☐ Assignment Papers  
(for an Application)☐ Drawing(s)☐ Licensing-related Papers☐ Petition Routing Slip (PTO/SB/69)  
and Accompanying Petition☐ Petition to Convert to a  
Provisional Application☐ Power of Attorney, Revocation  
Change of Correspondence Address☐ Terminal Disclaimer☐ Request for Refund☐ CD, Number of CD(s) \_\_\_\_\_☐ After Allowance Communication to  
Group☐ Appeal Communication to Board of  
Appeals and Interferences☐ Appeal Communication to Group  
(Appeal Notice, Brief, Reply Brief)☐ Proprietary Information☐ Status Inquiry☒ Other Enclosure(s)  
(please identify below):**Return Receipt Postcard  
Certificate of Mailing**

Remarks

**Please charge any necessary fees or credit overpayment to  
Deposit Account No. 502305. A duplicate copy of this  
transmittal is attached for this purpose.****SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT**

<b>Firm or Individual name</b>	Mark C. Pickering, Reg. No. 36,239
<b>Signature</b>	
<b>Date</b>	July 21, 2004

**CERTIFICATE OF MAILING**

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Mail Stop Amendment, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on this date: July 21, 2004	
<b>Typed or printed name</b>	Robin L. King
<b>Signature</b>	
<b>Date</b>	July 21, 2004

This collection of information is required by 37 CFR 1.5. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

**SEE TRANSMITTAL****For FY 2004**

Patent fees are subject to annual revision.

**TOTAL AMOUNT OF PAYMENT** \$180**METHOD OF PAYMENT (check one)**

1. ☒ The Commissioner is hereby authorized to charge any fees or credit any overpayment under 37 CFR 1.16 and 1.17 which may be required by this paper to Deposit Account No. 502305

**LAW OFFICES OF MARK C. PICKERING**☐ Applicant claims small entity status. See 37 CFR 1.27.**2. ☒ Payment Enclosed:**☒ Check ☐ Money Order ☐ Other**FEE CALCULATION****1. BASIC FILING FEE**

LARGE ENTITY		SMALL ENTITY		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
1001	770	2001	385	Utility	
1002	340	2002	170	Design	
1003	530	2003	265	Plant	
1004	770	2004	385	Reissue	
1005	160	2005	80	Provisional	
<b>SUBTOTAL (1)</b>					<b>0</b>

**2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE**

		Extra Claims	Fee from below	Fee Paid
Total Claims	* - 20 **	= 0	x 18	= \$ 0
Independent	* - 3	= 0	x 86	= \$ 0
Multiple Dep.			*	= \$ 0

\*\* or number previously paid, if greater; for Reissues, see below:

Large Entity		Small Entity		Fee Description
Fee Code	Fee (\$)	Fee Code	Fee (\$)	
1202	18	2202	9	Claim in excess of 20
1201	86	2201	43	Independent claims in excess of 3
1203	290	2203	145	Multiple dependent claim, if not paid
1204	84	2204	42	** Reissue ind. claims over original patent
1205	18	2205	9	** Reissue claims in excess of 20 and over original patent

**SUBTOTAL (2)** \$0**SUBMITTED BY**

Law Offices of Mark C. Pickering  
P.O. Box 300  
Petaluma, CA 94953-0300  
Telephone: (707) 762-5583  
Facsimile: (707) 762-5504  
Customer No. 33402

**Complete if Known**

Application Number 10/728,612  
Filing Date December 5, 2003  
First Named Inventor Peter J. Hopper et al.  
Examiner Name Mulpuri, Savitri  
Group Art Unit 2812  
Attorney Document No. 100-24100 (P05761)

**FEE CALCULATION (continued)**

3. Additional Fees  
Large Entity Small Entity  
Fee Code Fee

1051	130	2051	65	Surcharge - late filing fee or oath
1052	50	2052	25	Surcharge - late provisional filing fee or cover sheet
1053	130	1053	130	Non-English specification
1812	2520	1812	2520	For filing a request for ex parte reexamination
1804	920	1804	920	Requesting publication of SIR prior to Examiner action
1805	1840	1805	1840	Requesting publication of SIR after Examiner action
1251	110	2251	55	Extension for reply within first month
1252	420	2252	210	Extension for reply within second month
1253	950	2253	475	Extension for reply within third month
1254	1480	2254	740	Extension for reply within fourth month
1255	2010	2255	1005	Extension for reply within fifth month
1401	330	2401	165	Notice of Appeal
1402	330	2402	165	Filing a brief in support of an appeal
1403	290	2403	145	Request for oral hearing
1451	1510	1451	1510	Petition to institute a public use proceeding
1452	110	2452	55	Petition to revive-unavoidable
1453	1330	2453	665	Petition to revive-unintentional
1501	1330	2501	665	Utility issue fee (or reissue)
1502	480	2502	240	Design issue fee
1503	640	2503	320	Plant issue fee
1460	130	1460	130	Petitions to the Commissioner
1807	50	1807	50	Processing fee under 37 CFR 1.17(q)
1806	180	1806	180	Submission of Information Disclosure Stmt
8021	40	8021	40	Recording each patent assignment per property (times number of properties)
1809	770	2809	385	Filing a submission after final rejection (37 CFR 1.129(a))
1810	770	2810	385	For each additional invention be examined (37 CFR 1.129(b))
1801	770	2801	385	Request for Continued Examination (RCE)
1802	900	1802	900	Request for expedited examination of a design application

\*Reduced by Basic Filing Fee Paid **SUBTOTAL (3)** \$180

Date:

7-21-04

By:

Mark C. Pickering, Reg. No. 36,239